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PERFORMANCE EVALUATION OF CHAPLAINS
IN THE UNITED STATES NAVY

David Edward White

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THESIS

PERFORMANCE EVALUATION OF CHAPLAINS
IN
THE UNITED STATES NAVY

by

David Edward White

Thesis Advisor:

Richard S. Elster

June 1973

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PERFORMANCE EVALUATION OF CHAPLAINS
IN
THE UNITED STATES NAVY

by

David Edward White
Lieutenant Commander, Chaplain Corps, United States Navy
A.B., Hope College, 1960
M.Div. New Brunswick Theological Seminary, 1971

Submitted in partial fulfillment of the
requirements for the degree of

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ABSTRACT

In this paper an attempt is made to identify primary criteria with which to evaluate the performance of chaplains serving on active duty in the United States Navy. A review of performance evaluation is presented in which the earliest developments are discussed and compared with the changes which have been made in the Fitness Report over the years. A research study was conducted using the critical incident technique to gather data on effective and ineffective task behavior of chaplains. From an analysis and classification of the data a listing of primary criteria was developed from which rating scales for the evaluation of chaplains may be developed.

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I. INTRODUCTION

For several years a number of naval officers have been aware of the special problems associated with the fitness reporting of naval chaplains on a standard service-wide rating form. It is the feeling of this writer that in order to effectively evaluate the chaplain, who is a clergyman in uniform, a means of evaluation based upon critical requirements of effective and ineffective behavior would be more appropriate and meaningful than the present method of evaluation.

An evaluation based upon a check list of behaviors regarded as crucial to effective performance would be superior to the personal characteristic section in the present fitness report. It would also serve as a guide directing the commanding officer's attention to critical areas of performance when evaluating the chaplains assigned to his command.

A. PURPOSE OF THE STUDY

The purposes of this study are (1) to review the development of performance evaluation in general and in the United States Navy, (2) to examine the present method of evaluation in the United States Navy, (3) to identify, through an empirical study, primary criteria with which to evaluate chaplains in place of the Personal Characteristics Section

used in the current Report on the Fitness of Officers (NAVPERS 1611/1), (Appendix A).

B. IMPORTANCE OF THE STUDY

Available facts on the development of the present Report on the Fitness of Officers (NAVPERS 1611/1), hereafter referred to as Fitness Report, indicate changes in the form have primarily been made to improve the objectivity and reliability of the rating by reducing the subjective nature of the report. As a result of these changes a single form has been devised to evaluate all officers in the rank of captain and below. Officers of flag rank are evaluated on a special form NAVPERS 310A.

Although the fitness report form has been changed over fifty times since 1818 few changes if any have been made which would relate items on the Fitness Report to the evaluation of specific tasks an individual is required to perform. Since the Fitness Report is the sole basis, officially, for the selection for promotion of those best qualified for positions of higher responsibility and leadership, and in light of recent studies in performance evaluation it is hoped that this study will stimulate further thought by the Bureau of Naval Personnel toward consideration of task and behaviorally-orientated criteria for use in the evaluation of chaplains serving in the United States Navy.

II. PERFORMANCE EVALUATION

A. REVIEW OF PERFORMANCE EVALUATION

The evaluation of one individual by another or by a group in selecting individuals for positions of leadership has played an important part in the formulation of the destinies of men and nations throughout history. However, until the early 1900's there was little written regarding performance evaluation, in spite of the length of time it has been practiced. One of the earliest records of performance evaluation is recorded in the seventh chapter of Judges in the Old Testament. Gideon was directed by God to select the best men of the army of Israel for a confrontation with the Midianites. Gideon evaluated the men by taking them to a stream where they were allowed to drink. Upon reaching the stream, those who laid on the ground and drank directly from the stream were disqualified. Those who displayed their consciousness of a possible enemy by cupping water into their hands and drinking while looking about were selected to serve with Gideon. Gideon had in fact evaluated the performance of each man in terms of his behavior in a specific situation.

With the exception of a few reported instances relating to performance evaluation in the 1800's the first real interest in the rating or appraisal of personnel came out of the experience and reports of the United States military

in World War I. Subsequently a number of publications on appraisal made their way into the arena of interest as the 1930's witnessed the development of numerous studies in psychology and the behavioral sciences which ushered in a new era in performance appraisal. From the 1930's onward the trends in performance appraisal reflected the interaction between science and technology (Kelly, 1958).

Early attempts to appraise performance emphasized personal traits such as "cooperative", "loyal", and "sociable". The major problem associated with these trait evaluations was the rater made his own interpretations of the traits. Consequently, the evaluations were questionable regarding validity and reliability (Johnson and Sloan, 1969).

In order to overcome the shortcomings of the trait approach new techniques such as ranking, forced distribution, forced choice and critical incidents were developed. The advantages and disadvantages of these techniques are beyond the scope of this paper but have been adequately summarized by Tiffin (1959). It is sufficient to say that within the past ten years there has been a growing recognition of the need for more valid and reliable judgments about individual performance within the industrial setting which has precipitated a resurgence of interest in performance evaluation techniques.

Since the interest in performance evaluation began with the military it is not surprising that the developments in

performance evaluation were closely paralleled by the changing format of the Fitness Report in the United States Navy to which we now turn.

B. PERFORMANCE EVALUATION IN THE UNITED STATES NAVY

The earliest reference to appraisal reports on officers in the United States Navy appears in Rules, Regulation and Instructions for the Naval Service, published in 1818.

Article 19 of the Rules required that the Commanding Officer, upon paying off the crew, report to the Secretary of the Navy and the Board of Commissioners the following: "...the character of each officer serving under him, particularly as to his sobriety, diligence, activity and abilities" (Department of the Navy, 1956). Since the time of the first reference to officer appraisal, the United States Navy has maintained a formal, written appraisal record of each officer. The purpose of the Fitness Report is given in the Bureau of Naval Personnel Instruction 1611/12C dated 20 March 1972 as follows:

Reports on the fitness of officers are an objective appraisal of his performance as documented by his reporting seniors from the date of initial appointment until separation or death. Fitness reports are the primary basis for selecting officers for promotion and assignment to duty. Realistic objective evaluations of individual officers are essential to the accomplishment of each of these tasks. (Department of the Navy, 1972).

Although the written purpose is quite restrictive in scope former Chief of Naval Personnel, Vice Admiral B. J. Semmes, Jr., amplified on the purpose and major uses of the Fitness Report stating:

The performance shown in your fitness report record is reviewed before every action taken by the Bureau of Naval Personnel. It is most evident when promotion boards are deliberating, but is equally significant when officers are being considered for reassignment, command, post-graduate education, service colleges, or continuation. (Department of the Navy, 1965).

It is very clear that the importance of the Fitness Report cannot be stressed enough when viewing the potential impact on both the individual being evaluated and the United States Navy as an institution.

From the inception of the appraisal system to the present date, appraisal forms in the United States Navy have been revised over fifty times. Initially a separate and distinct report was used for Commanding Officers, Line Officers other than commanding, and Staff Officers. This procedure has changed considerably through the years.

In 1891, Regulation 86 promulgated the first printed forms to be used (1) to report on all officers in command afloat, and (2) to report on all other officers with no distinction made among officers in command ashore, those not in command, or staff officers. Article 287 of Navy Regulations in 1893 added a third form to be used for the evaluation of all officers performing staff duties (Department of the Navy, 1956).

The three forms remained with the Navy until 1909 when the three forms were reduced to two. One form was for officers in command, ashore and afloat, the other for all other officers. These forms were utilized until 1912 when the two forms were combined into one form. This single

form to report on the fitness of all officers consisted of four pages and remained in effect until 1930 when a separate form was introduced for the evaluation of all officers on shore duty. As of June 1945, a single form was used and continued in use until 1964 when NAVPERS 310A was issued for evaluation of officers of flag rank. Since 1964 the two forms have been in use distinguishing for the first time the means of evaluation on the basis of officer rank.

Through the use of specific types of appraisal forms to evaluate differing classifications of officers, the Navy apparently recognized significant differences among performance of duties in command afloat, command ashore, line officers, staff officers, those on shore duty and those on sea duty. However, use of the two current forms suggests the capability of measuring all officers regardless of specialty, staff, line or command functions by one Fitness Report. The major distinction in the method of evaluation is therefore the division of flag rank from lower ranks.

A review of the available literature on the evolution of the Fitness Report indicates that changes in the report have, in addition to an increase or decrease in the number and types of forms, included (1) increases and decreases in the number of pages, (2) the inclusion and/or exclusion of various trait evaluations, and (3) improvements in design.

An analysis of the data compiled by Legare (1965) regarding information requested on the Fitness Report indicates that personal traits and characteristics have occurred

in the greatest number and with the greatest frequency as measuring criteria in the evaluation of the performance of officers. No less than thirty-one personal traits and characteristics have been used at various times during the history of the Fitness Report. In addition to personal traits, professional qualification, technical qualifications, administration and management, physical condition, war and emergency reaction have been used as criteria for evaluation at various stages throughout the development of the present Fitness Report.

Since the appearance of the first Fitness Report considerable effort has been expended to develop the best method to select the best men for promotion. Words and phrases such as excellent, superior, outstanding, within the top ten percent, and one-out-of-one-hundred have been used in an attempt to differentiate between the superior and average officers. In essence it appears that most efforts relating to methods of evaluation were channeled toward finding a unique form which would successfully discriminate among officer performance.

In an attempt to improve the Fitness Report, rating scales were placed in columnar form to force the reporting senior to spread his evaluations. The columns were later divided into sections to denote the degree of performance. Subsequently, the columns were divided in half to signify the "high" or "low" in each section. In addition, at various stages in the development of the Fitness Report,

terms used in the report were defined in an attempt to create a common standard for all reporting seniors.

Despite all the efforts to design a Fitness Report which would provide a reliable and valid method to evaluate officers, the effectiveness of the current form remains questionable when evaluating the actual performance of officers of the line or staff corps officers. The reasons why the present report is questionable regarding effectiveness in evaluating performance will be discussed in the next two sections of this paper.

C. THE CURRENT REPORT ON THE FITNESS OF OFFICERS

The current Fitness Report, NAVPERS 1611/1, (Appendix A), contains twenty-four sections. Several sections pertain to personal data on the officer, duties performed, employment of command during the reporting period, the occasion of the report, and various identifying data. The sections of the report most relevant for purposes of evaluation are as follows:

Section 15. Performance of Duties

Section 16. Desirability

Section 18. Overall Evaluation

Section 20. Personal Characteristics

Section 21. Comments

A five-point rating scale is provided to assign marks in Sections 15, 16, and 18. Four of the five ratings in each of the sections are further divided into upper and lower

classifications. Section 20, Personal Characteristics is provided with a seven-word scale with two of the ratings divided into upper and lower designations. This section includes the rating of sixteen personal traits and characteristics as a means to infer the officer's suitability for various assignments or promotion to higher rank. Section 21, is for comments on strengths, special accomplishments or weaknesses. It must not be left blank by the reporting senior.

Several appraisal techniques are used in the five different sections mentioned above. Of the most commonly known techniques the present form utilizes (1) rating scales, (2) ranking, (3) combinations of ranking and rating scales, and (4) ranking with forced-choice.

Each appraisal technique or combination mentioned has its own mixture of strengths and weaknesses. No single technique is able to achieve all of the purposes for which performance evaluations are utilized, nor is any one technique able to evade all of the pitfalls. Included among the errors in the various techniques used in the present Fitness Report are the following:

(1) The Halo Effect - is described as the tendency of the rating officer to rate all factors in a report the same as one specific factor regarding an individual with which they were/are particularly impressed, favorably or unfavorably. (Tiffin, 1959).

(2) The Central Tendency - is viewed as a bias introduced into a report when a rating officer assumes that all of his subordinates should be grouped around an average, consciously or unconsciously by the rater. (Bowen, 1962).

(3) The High-Level Tendency - is attributed to the fact that raters have an inclination to rank men in high-level positions consistently higher than those occupying lower-level positions. (Johnson, 1960).

(4) The Staff Factor - often officers on large staffs are exposed to this unique hazard in their evaluation. The rough-draft is filled in by the ratee's immediate superior and reviewed up the chain of command and signed by the commanding officer. The staff factor enters when the immediate superior is relieved and another person takes over the position. Now the officers report will be composed by an entirely different personality, but the finished version will be signed by the same commanding officer. (Bowen, 1962).

(5) The Semantics Error - seldom does a word have a single interpretation and the semantics error is concerned with the effect of symbols upon the minds and actions of people in making evaluations utilizing "symbolic" terms. (Johnson, 1960).

The present Fitness Report, in addition to the susceptibility to the errors mentioned above which are common to many appraisal techniques, is confronted with the specific problem of rating personal characteristics as a measure of the performance of an individual. The rating of personal characteristics in the Fitness Report accounts for twenty percent of the evaluation in terms of categories but well over fifty percent of the specific individual decisions which have to be made in a single report. The high percentage of decisions that are trait-based directs us toward some issues regarding trait-based appraisal systems.

Traditionally appraisal systems have relied on more or less informal judgments of personal traits. The degree to which personal traits have been used at various stages in the development of the present Fitness Report was mentioned in the first section of this paper. The concern at this

point is to look at the difficulties associated with rating of personal characteristics as an indication of performance. Several disadvantages of the trait approach to evaluation are pointed out by Johnson and Sloan (1969) as follows:

The ambiguity of the descriptive terms leads to judgments which are biased by the raters subjectivity and which therefore are usually unreliable and invalid. The judgments generated are often difficult to communicate to the ratee, who is likely to believe that he possesses such traits to a high degree. And finally, the rating of traits does not provide an employee with adequate guidance for improving his performance. (Johnson and Sloan, 1969).

In very broad terms the trait approach to evaluation lends itself to criticism because its dependence upon a psychological appraisal of the ratee and "taking people apart" on a personality basis fosters resistance on the part of raters. The feeling is captured quite specifically in the following comment.

Now, it is one thing for an executive to react to another person's personality when "sizing him up". We do that every day. But it is quite another thing for a manager to delve into the personality of a subordinate in an official appraisal that goes into the records and affects his career. The latter amounts to quackery - to a pretension to training or knowledge which in fact is not possessed. For only in rare instances is a business executive properly qualified to assess the personality of an individual, and, more important, to try to get the individual to change aspects of his personality. The human personality is a complex and highly abstract concept.... Personality traits are themselves extremely difficult to define. Where does one draw the line, for example between intelligence and common sense, or between self-confidence and aggressiveness. (Gatza and Kindall, 1963).

The point made by Gatza and Kindall is further complicated when put in the context of the United States Navy because of the close proximity in which the commanding officer must

work with his fellow officers before, during and after the evaluation.

McGregor (1957) in analyzing the trait approach likens the superior's role to that of "playing god", and emphasizes the distress caused in superiors when they must take responsibility for judging the personal worth of a fellow man. It is evident therefore why superiors resist such systems causing the reliability of trait-based evaluation to be suspect.

If, as mentioned above, the trait-based method of evaluation has received such heavy criticism; why has this method played such an important part in the development of the present Fitness Report? Part of the answer is found in the attempt within the field of performance appraisal itself to utilize the significant findings of psychology and psychiatry. More specifically, the problem is related to the difficulty encountered in appraising the contributions of officers who fall more in the category of line or staff executives, whose tasks may be more qualitative than quantitative. The use of a trait-based measure in the Navy would therefore conform to the trend wherein the more difficult it is to measure a man's contribution, the more the system tends to drift over to a personality-based method of appraisal.

An even more fundamental reason for maintaining a trait-based approach in evaluation is related to what is really involved in the management of people. As Kelly (1958) points out, almost every study of successful leaders emphasizes

the importance of "human relations skills". The manner in which intellectual capacity or technical know-how is applied determines effectiveness and at this point personality and character become important assets for consideration in evaluation. It is important to remember however, that to recognize that personality traits are important is very distinct from formulating an entire performance appraisal system based on these traits.

As a consequence of recent studies, and in spite of the reasons mentioned earlier for maintaining a trait approach to evaluation, a shift has taken place in performance appraisal toward a complex of techniques that are designed to describe behavior and measurable achievement. Wickert and McFarland (1967), in discussing the changing role of performance appraisal suggest that performance appraisal ought to focus on the individual's on-the-job behavior and utilize criteria which are identified with successful task behavior in the performance of one's assigned responsibilities.

The present Fitness Report, as previously mentioned, reflects a complex of techniques. However, the various methods discussed only tell how the ratings are made. They do not indicate what to rate, and the previous discussion listed the difficulties involved in rating traits. The basic alternative to rating traits is rating actual performance. As mentioned by McKinney (1960), traits themselves have no objective reality. They are verbal summaries for general areas of behavior. The only way they can be

known is by inferring something about them from something that is objective and that which is objective is performance. Performance actually exists and is readily observable. Therefore, newer appraisal systems are turning toward the evaluation of actual performance and the direct measurement of performance.

In this chapter the development of performance evaluation was presented and parallels in the formulation of the present Fitness Report were discussed. The content of the present report was analyzed and criticisms of the utilization of trait evaluations were reviewed. In light of changing attitudes regarding the problem of rating traits as an indication of performance, it would appear that a substantial improvement would be made in the evaluation of officers if the Personal Characteristics Section, Section 20, were replaced by a listing of task behaviors considered necessary for the effective performance of assigned duties and responsibilities.

The next section of this paper will address the staff-rating problem and the evaluation of chaplains specifically, concluding with a review of measuring ministerial effectiveness.

III. EVALUATION OF CHAPLAINS

Present policy in the United States Navy requires that all officers regardless of specialty be evaluated on the same Fitness Report. This policy was changed during the course of the development of the present form but as noted in the last section of this paper there appeared to be present an underlying quest for one form for the evaluation of all officers.

A. THE STAFF RATING PROBLEM

For a number of years concern has been expressed by both staff corps officers and line officers regarding the means employed for the reporting of fitness of staff officers. Staff corps officers in the United States Navy include doctors, lawyers, chaplains, engineers, etc., whose functions require specialized professional training. Normally, the staff officer serves in a unit which is commanded by an officer of the line who is a general duty officer trained in the art of naval warfare and eligible for command within the military structure. The Commanding Officer in accordance with Navy Regulations reports on the performance of all officers under his command including the professional performance of such staff officers as might be attached to the command. Therefore the Commanding Officer must be cognizant of the professional requirements or standards of each corps to effectively evaluate the staff officer. Many times,

however, the Commanding Officer does not have sufficient information regarding the standards of the various staff specialties nor does he have the academic background to adequately appraise the performance of officers serving in staff specialties. Consequently, more appraisals are made on the basis of personal appearance, personality or social relationships.

In addition to the difficulty involved in appraisal due to differing standards within the professions represented, there remains the problem of evaluation using a form which was designed primarily for the appraisal of line officers as a predictor in selecting future military leaders for the United States Navy. Therefore there is a fundamental weakness in using the present Fitness Report to assess the performance of staff corps officers. Section 21, which requires a written appraisal of the officer is the only section in which direct appraisal of the staff specialty can be made. This lack of specific questions concerning staff specialties precipitates varied interpretations of performance standards, especially when raters are not intimately associated with the staff specialty.

In an effort to deal with the above mentioned inadequacies the Commanding Officer will usually delegate to the senior staff officer in the command the task of preparing the fitness reports of the junior staff members of the same specialty. These reports still have to be signed by the Commanding Officer and unless a specific notation is made

of this delegation, in the body of the report, it is assumed by all who may review the report that the staff officer's evaluation was made by the officer signing the report.

B. EVALUATION OF CHAPLAINS

Although there is a common difficulty recognized in the evaluation of staff officers there is a specific problem associated with the evaluation of chaplains. Whereas every other staff corps officer finds his job requirements quite specific, the chaplain must contend with a very broad and vague area of responsibility which will be called the "concept of ministry". Each chaplain formulates his own concept of how he will perform his ministry using the guidelines of his church or denomination. Indeed, the military guarantees him the right to conduct his ministry in accordance with the design of his particular church and his church alone. Therefore, each chaplain approaches his task based upon his "concept of ministry". However, as each chaplain has his own "concept of ministry", so does the person evaluating the chaplain and, as mentioned previously, this may be the Commanding Officer or another chaplain. The distinguishing characteristic among "concepts of ministry" may be the difference between a very liturgical order of worship or a free-form service of worship. It may be related to an evangelistic, conversion-orientated ministry, in contrast to a "low profile" style of ministry. Unfortunately, many evaluations are determined on the basis of the acceptance or rejection by the rater of the chaplain's

"concept of ministry". When this type of appraisal is made, little consideration is given to the effectiveness of the chaplain in the performance of his ministry and particularly among those people who were in accord with his style of ministry.

In part, the present difficulty in evaluating the performance of the chaplain is related to the utilization of a format which does not address the tasks of the chaplain and as discussed in the last section is heavily weighted toward rating personality traits. To effectively evaluate the chaplain valid criteria must be identified which would serve as the basis of evaluation and a guide for the rater in directing his attention to critical areas of performance.

C. MEASURING MINISTERIAL EFFECTIVENESS

In one of the earliest studies of ministerial effectiveness, May (1934) viewed the problem from the position of the man and the type of work he was called upon to perform. A second study concerning effectiveness of clergymen was conducted by Kolarik (1954) using the critical incident technique to collect 1152 incidents of effective and ineffective task behavior of Lutheran pastors. These incidents were gathered from 340 laymen and laywomen and 59 clergymen, all from the Lutheran Church, Missouri Synod. In the process of analysis the 1152 incidents were classified into 199 items and arranged in 13 major areas which were considered to have a comprehensiveness sufficient to

include the total functioning of the pastor. More recently, Nauss used the incidents gathered by Kolarik, after a necessary updating of the incidents, in a classification process to develop a behavioral-based Ministerial Function Scale as an objective measure of the performance of a parish pastor (Nauss, 1970).

The review of the above literature revealed the central difficulty in measuring effectiveness to involve principally criterion problems. Establishing a valid criteria to measure the performance of clergy is no less difficult a task than developing performance criteria measures for any professional position. As noted by Nauss (1972), the analysis of ministerial effectiveness requires a distinction between primary and secondary criteria. A specific observable task behavior on the part of the clergyman would be classified as a primary criteria. The act of behavior itself is the basis of the criteria. A secondary criteria would be an observable consequence of the tasks performed by the pastor, such as his salary, the size of the congregation or the number of people served in the parish. An additional criteria, of a spiritual nature, which would measure, if possible, effectiveness in terms of souls saved, lives changed, prayers offered, etc., could be as described by Nauss (1972) classified as secondary criteria. The specific difficulty in using secondary criteria is summarized as follows:

Secondary criteria are likely used because they are the only representations of a man's ministry immediately available. Although they can be used in effectiveness research, the problem of their validity must be resolved. There must be careful validation

of such criteria to determine whether they are directly associated with effectiveness, which means that primary criteria need to be introduced so that they may be related to the secondary items. (Nauss, 1972).

In addition to the problem of selecting criteria regarding ministerial effectiveness a measure of effectiveness involves basic differences in views of ministry when attempting to develop criteria for chaplains serving in the United States Navy. Fichter's (1963) study of Catholic clergy and Schroeder's (1963) research into the differing expectations of laymen regarding ministerial functioning of Protestant and Catholic pastors indicate varying concepts of the role of the pastor. These differences may indeed be more evident in some areas of task behavior than others.

As mentioned earlier in this section, a major issue involved in measuring ministerial effectiveness relates to identification of valid criteria. It is quite apparent that the problem of criteria is also a major issue when viewing the present fitness report as a means of evaluating the performance of chaplains. To effectively evaluate the chaplain serving in the U.S. Navy, a method which utilizes primary criteria should be developed. The remainder of this paper will discuss a project undertaken to identify primary criteria for use in evaluating the performance of chaplains in the United States Navy.

IV. RESEARCH STUDY

To develop primary criteria with which to evaluate the chaplain more effectively, in his somewhat unique situation in the United States Navy, an empirical study was conducted.

A. AN APPROACH TO EVALUATION

In order to identify possible primary criteria a behavioral-based approach was necessary. From a search of behavioral methods the critical incident technique of Flanagan (1954) was selected as a means of gathering information relating to effective and ineffective behavior of chaplains in performing their tasks.

The critical incident technique was an outgrowth of studies in the Aviation Psychology Program of the United States Army Air Forces in World War II. One of the first studies in this program was the analysis of the specific reasons for failure in learning to fly among flight school students. In 1944 a series of studies used the critical incident technique in assessing the problem of combat leadership in the United States Army Air Forces. These studies represent the first large-scale systematic effort to gather specific incidents of effective or ineffective behavior with respect to a designated activity. The instructions asked combat veterans to report incidents observed by them which involved behavior that was especially helpful or inadequate in accomplishing an assigned mission. Several thousand

incidents were collected and analyzed to provide a relatively objective and factual definition of effective leadership. The resulting set of descriptive categories was called the "critical requirements" of combat leadership.

As related by Flanagan (1954), additional work in perfecting the critical incident technique was done after World War II at the American Institute for Research. The critical incident technique has since become a formidable tool in establishing measures for evaluating the performance of individuals in specific positions.

The present format of the critical incident technique is briefly summarized as follows:

The method asks supervisors, employees, or others familiar with a job to record critical incidents of job behavior. The incidents are just what the name implies - actual outstanding occurrences of successful or unsuccessful job behavior. Such occurrences are usually recorded in stories or anecdotes. Each incident describes (1) what led up to the incident and the setting in which it occurred, (2) exactly what the employee did that was so effective or ineffective, (3) perceived consequences of the critical behavior, and (4) whether such consequences were actually within the control of the individual. After a large number of such incidents are collected, they may be abstracted and categorized to form a composite picture of job essentials. The categories, in turn, form a behaviorally-based starting point for developing checklists of task behaviors regarded as crucial to either effective or ineffective performance. (Dunnette, 1966).

B. THE PROJECT

For this study, incidents regarding the effective and ineffective task behavior of chaplains were to be gathered from all chaplains serving on active duty in the United States Navy. From the incidents gathered a listing of

critical requirements for effective performance was to be established which would form the basis of a check list of task behaviors with which to evaluate the performance of chaplains.

To gather the data for the study a questionnaire (Appendix B) was formulated for use in a pilot project. Questionnaires were distributed to thirty students in the Management Program at the Naval Postgraduate School at Monterey, California, and to thirty chaplains serving in the U.S. Army at Fort Ord. A brief presentation was made to each group concerning why the study was being conducted and the critical incident technique was explained. In each presentation an opportunity was given for individuals to ask questions about the study, the questionnaire or the critical incident technique.

The results of the pilot project were very encouraging regarding content. Ninety-five percent of all questionnaires returned listed critical incidents. However, quantitatively the response was very low with only twenty-one of the sixty questionnaires being returned. The success in receiving responses in the form of critical incidents was attributed in part to the fact that the study and questionnaire technique were presented to each group with the opportunity to have questions clarified. Inasmuch as there would not be an opportunity for clarification when the questionnaire was distributed by mail, two modifications were made on the questionnaire. The modifications to the form were (1) to

ask when the incident happened in an effort to direct the individual to think of a specific incident and (2) to ask explicitly what the chaplain did in place of the request to describe the incident in an attempt to pinpoint the specific action or behavior that was involved in the incident being reported.

To test the above mentioned changes in the pilot questionnaire, the modified form was given to twelve individuals with no explanation and in all instances critical incidents were related in the responses. The questionnaire was then considered to be ready for distribution.

Taking into consideration the low number of responses in the pilot project, the questionnaire (Appendix C) was distributed by mail to all 900 chaplains in the U.S. Navy serving on active duty as of February 1973. The Chief of Chaplains, Rear Admiral Francis L. Garrett, United States Navy, authorized and signed the cover letter (Appendix D), which introduced the study and the questionnaire.

The brief introduction on the questionnaire served to establish a point of reference for consideration of the questions asked. Information regarding rank, age, time in service or religious faith of the individual was not considered necessary for the study and was therefore omitted.

C. THE RESULTS

Of the 900 questionnaires sent to chaplains, 159 were returned for a total of 318 responses (two for each

questionnaire). Responses were received from 17.66 percent of the population sampled. Only three of the returned questionnaires contained no responses for both the effective and ineffective incidents. On three other questionnaires the ineffective responses were left blank. Additionally, six effective and six ineffective responses could not be used as they were not of a critical incident format and addressed vague generalities instead of specific incidents. In summary, 297 incidents of the 318 received were used in the remainder of the study.

To analyze the data obtained from the questionnaires a basic approach was established for handling each incident response. The assumption of the approach was that the chaplain operates or functions in two distinct environments. Either he works with individuals or he works with groups. Any activity relating to the effective or ineffective behavior of the chaplain can be viewed as taking place in one of these two situations. Therefore a binary decision was made on each incident to determine whether the incident was directed toward an individual or a group. In the case of marriage or family counseling the couple was interpreted to be a unit and therefore would fall under the general grouping of an individual activity. This distinction will become more apparent in the discussion of the category flowchart which was developed in the processing of the incidents.

An objective appraisal of each incident attempted to answer the question, "What did the chaplain do?" Upon determining the action stated in the incident a decision was made regarding the category into which the action would be classified. The incidents usually contained elements of activity intermingled with sentiment or opinions which at times made it extremely difficult to distinguish the activity.

In this process each incident, effective and ineffective, was mentally classified as either individual or group and then sub-categorized into the specific classification as inferred by the incident content. The individual or group classifications were merely tools for aiding in the objective and systematic analysis of the incidents. The primary items of concern were the sub-categories which serve to identify the particular effective or ineffective task behaviors. Therefore, as each incident was considered it would be placed into a classification already established. If it was distinct from all existing categories a new category was established.

From the 297 incidents, both effective and ineffective, seven different categories were established. The categories included pastoral care, counseling, personal behavior, management, teaching, worship and outreach and are illustrated in the flowchart, (Appendix E). The distinguishing characteristics of the categories are as follows:

1. Pastoral care - counseling of a religious nature.
2. Counseling - marriage, family, personal problems, etc.
3. Personal Behavior - personality, demeanor.
4. Management - to include personnel and administrative.
5. Teaching - as related to any educational program.
6. Worship - to include preaching and related areas of worship.
7. Outreach - programs other than standard chapel activities.

In many instances the incidents reported had activities which could be considered related to several categories. For example an aspect of demeanor may also be influential in counseling or management. An element of pastoral care may be operative in a general counseling session. However, an effort was made in the analysis of the data to determine the main emphasis or activity of each incident and categorize it accordingly.

The numbers of the categories both above and in the flowchart are for identification purposes only and do not infer order of importance. The frequency with which incidents were identified with specific categories, however, indicates to a degree the relative importance of the categories developed. Table I depicts the distribution of the incidents among the seven different categories.

TABLE I

DISTRIBUTION OF INCIDENTS AMONG CATEGORIES

| <u>Category</u> | <u>Effective</u> | <u>Ineffective</u> | <u>Total</u> |
|----------------------|------------------|--------------------|--------------|
| 1. Pastoral Care | 40 | 8 | 4 |
| 2. Counseling | 24 | 26 | 50 |
| 3. Personal Behavior | 22 | 39 | 61 |
| 4. Management | 30 | 61 | 91 |
| 5. Teaching | 12 | 1 | 13 |
| 6. Worship | 13 | 11 | 24 |
| 7. Outreach | 9 | 1 | 10 |
| | — | — | — |
| | 150 | 147 | 297 |
| Not usable* | 9 | 12 | 21 |
| | — | — | — |
| | 159 | 159 | 318 |

* Indicates blank responses or responses not of critical incident format.

After all the incidents had been classified, with proper notation being made as to the category into which each incident was placed, a retranslation of the data was performed. The retranslation process is accomplished by having another individual read a specific incident and attempt to classify it into one of the categories already developed (Dunnette, 1966). If a number of individuals classify the incident into the same category which was originally established for that incident, then the retranslation of that incident is considered successful. A single retranslation of an incident in itself is not of major importance, however, if an incident is classified into the same category by a great percentage of independent retranslators, this increases the objectivity of the category it illustrates.

Participating in the retranslation process were twelve chaplains serving in the Naval Reserve, all of whom had previous service on active duty. The chaplains involved represented the three major faiths, Protestant, Roman Catholic and Jewish. The retranslation did not have to be done by chaplains as anyone familiar with the tasks of chaplains could have participated in the process. However, inasmuch as all the incidents were generated by chaplains the decision was made to involve only chaplains in the retranslation.

In conducting the retranslation, four chaplains indicated independently of each other which category was illustrated

by each incident. In some instances an incident was classified in the same category by all four chaplains. With other incidents, only two of four would make the same classification. In still other situations the incident was classified into four different categories indicating a cross-current of inferences from a single incident. Table II lists the results of the retranslation.

TABLE II
SUMMARY OF RETRANSALATION

| <u>Category</u> | <u>No. in Category</u> | Percent Agreement Among Retranslators and No. Retranslated | |
|----------------------|------------------------|--|-----|
| | | 100% | 75% |
| 1. Pastoral Care | 48 | 24 | 4 |
| 2. Counseling | 50 | 12 | 0 |
| 3. Personal Behavior | 61 | 23 | 3 |
| 4. Management | 91 | 20 | 7 |
| 5. Teaching | 13 | 6 | 3 |
| 6. Worship | 24 | 14 | 3 |
| 7. Outreach | 10 | 1 | 1 |

Note: Four chaplains retranslated each incident.

The retranslation process provided a listing of incidents for each category which reflect critical requirements for effective performance in the specified category. As a

result of the retranslation one category was eliminated.

In the Outreach category which had ten incidents in the original classification, only one incident was successfully retranslated and a listing of behaviors was not possible.

As a result of the retranslation incidents were identified which can be considered reliable in indicating task behaviors necessary for effective performance of chaplains.

The incidents successfully retranslated and listed by categories are as follows:

PASTORAL CARE

The chaplain led the marine to a vital relationship with Jesus Christ.

When a man died and his wife could not be located, the chaplain visited the family, stayed with the situation, acted as comforter, informer and coordinator until family stability returned.

When a woman was told her husband had incurable cancer the chaplain stood by, allowed the person to cry, offered a listening ear and shared with her words of faith.

The chaplain's empathetic concern and pastoral care with a terminal patient was the pivotal point in accepting death by the patient and his family.

When notified of a death, the duty chaplain administered sacraments to the deceased and then walked off leaving the new widow without so much as speaking to her.

When notified of the death of a child at the hospital, and having missed the parents at the hospital, the chaplain made a personal call on the family and aided the parents in making necessary arrangements and offered Mass that evening for the family.

When celebrating the Lord's Supper the chaplain during the individual benediction, placed both hands on the shoulders of each communicant; a laying on of the hands.

A depressed young man requested help in returning to the Lord. The chaplain invited him and his wife to his home and counseled and prayed with the family.

A Navy chaplain helped a dying man in a Naval hospital deal with death - and guided the immediate family and close friends through the grief process. He listened, he used silence, he prayed.

A recruit expressed a deep spiritual hunger and the chaplain explained the redemptive work of Christ and prayed with the man and asked God to save the lad ... and it happened.

In learning of a plane crash, the chaplain went with the Commanding Officer to inform the family. He remained with the wife and two children in a long vigil while rescue operations searched for the missing pilot. He comforted the wife, walked with her and talked with her about the situation.

Informed of a plane crash and told that three people were killed at the crash site and that the pilot ejected safely, the chaplain visited the pilot and stayed with him during the first crucial evening.

At a recent plane crash, the chaplain was present and expressed concern, understanding and offered prayers for and with those present.

When a man died in the Intensive Care Unit the family would not allow the body to be removed until their family pastor from 20 miles away had been called and came to the hospital and offered prayers for the deceased. The chaplain present took control of the situation, handled considerable grief and shock-reaction from the family, and resolved in a few minutes a very confused situation.

A young marine, having just lost the second of his two best friends became disconsolate with grief and inappropriate guilt. The chaplain held the young man in his arms for over two hours as he poured out his remorse and anger.

The chaplain visited with the family of a serviceman who had died in an automobile accident.

The family was in the waiting room at the hospital when their son died. The chaplain was present when the family was notified of the death and accompanied the family to the bedside where he offered a prayer and the family said their goodbyes. He then assisted the family in making necessary arrangements.

A pilot was killed and the chaplain in talking with the widow, the widow's parents, the deceased's parents, did not speak unless he had something to say and when he spoke he avoided platitudes, was candid, yet warm and concerned.

The sudden and unexpected death of a young sailor, who had a young bride and new-born child, occurred at 0330. The chaplain responded at the late hour, arranged for the care of the

child, transported the wife to the hospital and remained during the vigil prior to the expiration of the patient.

When two sailors were seriously injured in an automobile accident, the chaplain notified the parents and advised them of the seriousness of their condition. When the parents arrived the next day the chaplain continually went to the hospital during the day and at night stayed up with the relatives.

The chaplains assigned to the carrier made regular visits to the destroyers to conduct worship services while the ships were deployed.

A supervisory chaplain, despite the hazard of combat areas went around regularly to visit his chaplains in their respective units and was constantly available to them.

A young mother had just delivered a stillborn and the chaplain was called. He visited the woman and proceeded to tell her what she was feeling and why she was wrong in feeling that way. He then prayed and left.

When it was learned that a one year old son in a family had died, a chaplain who visited the family immediately began a discourse on death and a theological explanation of the whereabouts of the child's soul and missed the feelings of the family.

COUNSELING

The chaplain had difficulty counseling a young man who said he was a conscientious objector but the record showed him to be the opposite. The man would not listen to logic, reason or fact.

When requested via phone to check out an emotionally charged situation involving the dependent wife of a deployed serviceman, the chaplain made personal contact with the wife, provided support, involved the wife in counseling affording the opportunity for ventilation and constructive development. He then communicated with the husband regarding the situation.

When a recruit wanted to drop out of a program after pledging his "word" the chaplain discussed with him the importance of standing up under stress, being true to one's word. The recruit changed his mind and stayed with the program.

When the chaplain learned a young black marine had been dealt with in a less than just fashion regarding a promotion, he worked with the command, the NCO concerned and the problem was resolved without the chaplain destroying his relationship with the battalion.

The serviceman was acting juvenile. He was brought to the chaplain's office and became very defiant and began throwing things. With firmness and compassion the chaplain pointed his finger at the man and ordered him to sit down. A stern warning coupled with a statement of willingness to help followed.

Due to letters from home, a serviceman thought his entering the Navy had precipitated his mother's mental problems. The chaplain through the assistance of the Red Cross learned the mother had a long history of nervous and mental problems not known to the son. The chaplain counseled the man regarding the new information and the man responded favorably.

The chaplain talked with a couple whose marriage was being torn apart. He assisted them in clarifying needs, setting goals, and resolving direction for achieving the goals.

The chaplain listened to a woman who thought she had a problem but didn't and he didn't confront her with the fact that she was making a mountain out of a mole hill.

Sailor with a multitude of personal problems poured out his story to the chaplain. The chaplain was able to do nothing but ask questions which made the situation even more hopeless.

A habitual drug user, oblivious to everything, approached the chaplain concerning his problem. The inability of the chaplain to reach the man caused great frustration for the chaplain.

When a defiant brig client was brought to the chaplain, the chaplain was unable to provide him with motivation to change his attitude. The man left as defiant as he was when he arrived.

In a counseling situation the chaplain had no feeling for the couple involved. He was more clinical and less minister.

PERSONAL BEHAVIOR

The chaplain set a very high standard for himself aboard a ship where the standards were low. In a situation where there was general apathy the chaplain was not drawn into the trap.

The chaplain walked into the O-Club bar with his cap on but refused to buy a round of drinks as is the tradition.

The chaplain with a number of years of service displayed a negative attitude toward every aspect of the ministry.

When the intolerance and rigidity of a senior chaplain became a source of constant frustration, the junior chaplain did not respond to his initial perceptions but sought out areas where he could engender respect and trust from his superior through good performance.

A young chaplain at a seminar was very kind, talented, and impressive.

When the chaplain arrived on a destroyer he took the initiative in introducing himself to those onboard. He walked around the ship, met the crew, rapped with men in the wardroom, and acted like he had something to give and enjoyed doing it.

During an artillery attack a marine remained in the open shocked into inaction. The chaplain ran to the man and led him quietly into a bunker and brought the man back to reality by relating to the man.

When a person entered his office, the chaplain didn't look up to see who it was, nor did he rise to greet the person.

The chaplain contradicted his orders to subordinates regarding ministry to returning POW's. He then directed all chaplains to depart, assuming full responsibility for ministry. Then he busied himself with administrative work taking no initiative in greeting the POW's. When questioned about the procedure he became angry and threatened administrative action.

The chaplain did not want to return stateside due to difficulties at home and became sedated with alcohol requiring persuasion to get him to board the airplane.

The chaplain while at a meeting criticized the commanding officer for implementing a military regulation which was within the jurisdiction of the commanding officer.

The chaplain became confused concerning his raison d'etre and began to frantically pursue any and every possible avenue which might lead him to identity, credibility and status.

The chaplain continually vocalized his displeasure about his current duty assignment.

While attending a banquet and after the meal was over, the chaplain who had earlier given the prayer before the meal, proceeded to trim his fingernails while at the table.

The chaplain talks a big game and tells everyone how busy he is when in fact he does nothing.

At a formal cocktail party the chaplain became loud and obnoxious in a heated argument and was asked to leave by the host.

A reporting chaplain refused to participate in the church services and while sitting in the congregation he fell asleep.

When a senior chaplain was notified of the need for a chaplain at the hospital one-quarter of a mile away, he had his secretary call the area duty chaplain at an outlying command fifteen miles away to cover the situation. When asked about the situation he merely pointed to the eagle on his collar.

The chaplain was grouchy with people who came for a baptism.

The chaplain blew up with his colleague.

The chaplain came back to the ship drunk.

The chaplain had a drinking problem and insisted on conducting a service of worship while under the influence of alcohol.

The chaplain spent his entire tour in Vietnam with a "short timers" attitude and sat moping the entire time.

MANAGEMENT

The senior chaplain waited until a few weeks before the Inspector General's visit and then held a "knit picking" inspection on all the junior chaplains with heavy criticism concerning what they should have been doing. Why not tell them at the start?

When a new chaplain reported aboard for duty, the departing chaplain did not even introduce the new chaplain to the commanding officer. Instead he sent a second rate department memo informing the command of the change.

At a recruit training command, Christmas leave was denied to those who failed an exam immediately preceding the leave period. No training was to be done during the holidays. The chaplain intervened stating that test failures would have to be taken care of after the holidays anyway and recruits should have leave. The recruits were given leave as a result of the chaplain's action.

The chaplains in a specific homeport were trying to get office space nearer the piers without success. Another

chaplain went to work on the project and used his knowledge of Naval administration and command to achieve the goal.

A newly reported chaplain, barraged with a series of critical issues, calmly and persistently gathered appropriate facts, ordered them, and presented them to the command without losing his perspective.

The chaplain expanded the power and influence of the department in the Naval structure at the station by the funding and billeting of collateral duties.

In promoting a base wide function and in order to eliminate confusion, the chaplain printed a sheet that each chaplain involved could use as a check-off guide for publicizing the event.

The chaplain reporting to a new command found a very poor relationship between the command and the chaplain's department. The chaplain by using proper Naval procedures and co-ordination brought the department to a high level of efficiency and acceptance by the command.

The chaplain briefed the area chaplain on a proposed re-programming and restructuring of the chaplain's assignments. His presentation was open, complete, convincing and he fielded all questions courageously and effectively.

The chaplain did his homework in checking command regulations and Navy regulations before presenting his proposal to the command.

The senior chaplain on a regular weekly basis held an informal meeting where he shared with the others what he had learned from the Chief of Chaplains' letter to the seniors in the Corps, and each chaplain had a chance to question and to receive help in any local problem he might be working on.

The chaplain took action to rotate chaplain duty assignments without consulting his supervisory chaplain nor did he give any advance notification of the changes that were to be made.

The chaplain at a large station was great at delegating authority and giving room for creative programming. However, the latitude was so great that it was interpreted by the chaplains and the people that "he didn't care" about the program.

The chaplain planned a presentation using a film but did not check to see if the projector was working. It failed to operate and since the program and discussion was based on the film, the entire program was terminated.

The chaplain had an appointment scheduled for 1400 but failed to check his schedule and was not available when the couple arrived for their appointment.

At the first meeting called by the new staff chaplain, he proceeded to introduce himself with a twenty-minute explanation of how he had moved his numerous tanks of tropical fish from the New England coast to his new address in an air-conditioned trailer "without the loss of a single fish".

The chaplain who had an administrative position would speak of what he should do to support the chaplains under him and then not provide the support. Instead he spent most of his time reading novels, working crossword puzzles and playing solitaire.

The chaplain in making an assignment to another chaplain had his secretary relay word of the assignment instead of calling himself.

The chaplain seldom shared any information. He doubted the abilities of the junior chaplains, directing them to work on a project and then checking on their every move. He was suspicious of everything they did.

The chaplain while standing the duty at the hospital had the occasion to leave for a short while but did not inform the duty desk where he could be located. Thus when he was needed he could not be located.

TEACHING

The chaplain while participating in a regular race relations seminar, volunteered a forty-five minute presentation that was so outstanding that it was incorporated as a part of the regular program.

A chaplain came to a seminar to present a multi-media audio visual depiction of chaplains at work. He used five or six slide projectors, a movie projector and two tape recorders to do the presentation. It was literally wired for sound.

A chaplain showed a Bergman film asking those who were watching to identify important events and relate these to the functions and tasks of ministry. He was a facilitator, he treated the people as adults, did not talk down to them and related on a feeling basis.

The chaplain spoke on what the ideal chaplain should be based on his own thirty years of experience, presenting mission, goals, identity and life style.

The chaplain was assigned the task of up-dating the Character Education Program. In so doing this task he conducted a pilot project, carefully developed a flip chart and opaque projector presentation and thereby sold the entire program to the command.

The chaplain involved himself with the lay teachers in the religious education program to aid them in becoming better qualified in making better presentations to the children.

WORSHIP

In his sermon the chaplain put feeling into what he said and made the people feel he was talking to them individually. He picked people out of the congregation, talked to them, asked questions, waited for answers and then built on what he heard.

The chaplain led the worship at a one day retreat and was outstanding in his preaching.

At a Sunday service the chaplain did not involve the people but spoke like a lecturer in seminary or a career counselor giving a re-enlistment talk. He did not challenge nor "Kerygmatize".

The chaplain lost the people in a New Years message by addressing the congregation as children.

He preached a sermon with the best of intentions and with a deep and abiding faith but he didn't communicate.

The chaplain demonstrated a refreshing style in the delivery of his sermon. After quoting the Scripture lesson from memory he moved directly into the middle of the congregation and delivered his sermon.

The chaplain was preaching a sermon. He was well-prepared, his material was interesting, and his delivery was excellent.

The chaplain delivered a sermon which was so far removed from the experience of the people his effort for the most part was a waste of time. He was out of touch with the problems and difficulties his parishioners were living with.

The chaplain invited the priest from the local college to participate in an ecumenical Christmas Eve worship service. A combined choir provided the music and both clergymen participated in the sacrament of Holy Communion.

The chaplain arranged for the local observance of the Presidential Prayer Breakfast to be held in the officers club which eliminated enlisted personnel from attending.



The chaplain co-ordinated an ecumenical Thanksgiving Day service involving all chaplains in the area.

The chaplain preached a sermon which was all too clearly designed to divide and alienate the congregation on religious doctrine.

As part of a memorial mass the chaplain explained the hand-shake as a symbol of peace and then went among the members of the congregation to shake their hands. The gesture seemed meaningful to the attendees of this type of service who may have been experiencing loneliness or alienation.

The chaplain made reference to the small crowd in chapel, expressed the wish that there were more, wished people would attend the chapel programs and was generally apologetic in his entire approach.

The incidents in the Worship and Counseling categories listed above were judged by students in a Performance Evaluation class at the Naval Postgraduate School on a scale ranging from 0.0 to 10.0 for least effective to most effective behavior. The incidents in the Worship category were scaled by rank ordering by ten students while the incidents in the Counseling category were scaled by ten students using a paired comparison procedure. The results of the scaling for the two categories are as follows:

COUNSELING

10.000 When requested via phone to check out an emotionally charged situation involving the dependent wife of a deployed serviceman, the chaplain made personal contact with the wife, provided support, involved the wife in counseling affording the opportunity for ventilation and constructive development. He then communicated with the husband regarding the situation.

6.534 When the chaplain learned a young black marine had been dealt with in a less than just fashion regarding a promotion, he worked with the command, the NCO concerned, and the problem was resolved without the chaplain destroying his relationship with the battalion.

4.335 Due to letters from home, a serviceman thought his entering the Navy had precipitated his mother's mental problems. The chaplain through the assistance of the Red Cross learned the mother had a long history of nervous and mental problems not known to the son. The chaplain counseled the man regarding the new information and the man responded favorably.

4.321 When a recruit wanted to drop out of a program after pledging his "word" the chaplain discussed with him the importance of standing up under stress, being true to one's word. The recruit changed his mind and stayed with the program.

2.981 The chaplain talked with a couple whose marriage was being torn apart. He assisted them in clarifying needs, setting goals, and resolving direction for achieving the goals.

2.255 The serviceman was acting juvenile. He was brought to the chaplain's office and became very defiant and began throwing things. With firmness and compassion the chaplain pointed his finger at the man and ordered him to sit down. A stern warning coupled with a statement of willingness to help followed.

.053 The chaplain listened to a woman who thought she had a problem but didn't and he didn't confront her with the fact that she was making a mountain out of a mole hill.

.033 The chaplain had difficulty counseling a young man who said he was a conscientious objector but the record showed him to be the opposite. The man would not listen to logic, reason or fact.

.018 In a counseling situation the chaplain had no feeling for the couple involved. He was more clinical and less minister.

.006 A habitual drug user, oblivious to everything, approached the chaplain concerning his problem. The inability of the chaplain to reach the man caused great frustration for the chaplain.

.005 When a defiant brig client was brought to the chaplain, the chaplain was unable to provide him with motivation to change his attitude. The man left as defiant as he was when he arrived.

.000 Sailor with a multitude of personal problems poured out his story to the chaplain. The chaplain was able to do nothing but ask questions which made the situation even more hopeless.

WORSHIP

10.000 The chaplain was preaching a sermon. He was well prepared, his material was interesting, and his delivery was excellent.

9.202 In his sermon the chaplain put feeling into what he said and made the people feel he was talking to them individually. He picked people out of the congregation, talked to them, asked questions, waited for answers and then built on what he heard.

8.936 As part of a memorial mass the chaplain explained the handshake as a symbol of peace and then went among the members of the congregation to shake their hands. The gesture seemed meaningful to the attendees of this type of service who may have been experiencing loneliness or alienation.

8.191 The chaplain demonstrated a refreshing style in the delivery of his sermon. After quoting the Scripture lesson from memory he moved directly into the middle of the congregation and delivered his sermon.

7.739 The chaplain invited the priest from the local college to participate in an ecumenical Christmas Eve worship service. A combined choir provided the music and both clergymen participated in the sacrament of Holy Communion.

7.234 The chaplain led the worship at a one day retreat and was outstanding in his preaching.

6.782 The chaplain coordinated an ecumenical Thanksgiving Day service involving all chaplains in the area.

2.553 At a Sunday service the chaplain did not involve the people but spoke like a lecturer in seminary or a career counselor giving a re-enlistment talk. He did not challenge nor "Kerygmatize".

2.074 The chaplain made reference to the small crowd in chapel, expressed the wish that there were more, wished people would attend the chapel programs and was generally apologetic in his entire approach.

1.543 He preached a sermon with the best of intentions and with a deep and abiding faith but he didn't communicate.

1.064 The chaplain lost the people in a New Years message by addressing the congregation as children.

1.037 The chaplain arranged for the local observance of the Presidential Prayer Breakfast to be held in the officers club which eliminated enlisted personnel from attending.

.984 The chaplain delivered a sermon which was so far removed from the experience of the people his effort for the most part was a waste of time. He was out of touch with the problems and difficulties his parishioners were living with.

.000 The chaplain preached a sermon which was all too clearly designed to divide and alienate the congregation on religious doctrine.

The incidents in the remaining four categories could be scaled in a similar manner. The outcome of the completed process would be a task-behavior evaluation form with scales for judging the performance of chaplains, firmly defined behaviorally, anchored at various points by incidents, and fixed according to scale location.

V. SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

A. SUMMARY AND CONCLUSIONS

A good system of performance evaluation should have the confidence of both the individual making the evaluation and the person being evaluated. As presented in the first three sections of this paper there are several difficulties involved in the evaluation of chaplains utilizing the present Fitness Report. As a consequence of these difficulties, confidence in the Report as a valid evaluation of performance is lessened.

Three major areas of concern involve (1) the use of a single form to evaluate all officers regardless of rank, responsibility or specialty, (2) the utilization of a trait-based approach as an indication of performance, and (3) the need for specific valid criteria with which to formulate a means to effectively evaluate the performance of chaplains.

The research study conducted as part of this paper attempted to identify primary criteria from which a rating scale could be devised. A rating scale developed from the primary criteria would provide a means of performance evaluation for chaplains based on task behavior considered necessary for effective performance in the accomplishment of assigned responsibilities.

In conclusion, it is important to remember that the results of this research study were based on an input which

was restricted to incidents provided by chaplains serving on active duty in the United States Navy. The retranslation was carried out by chaplains for purposes of consistency. However, as discussed by Nauss (1972) in his work on ministerial effectiveness and used by Kolarik (1954) in his study, an input from lay persons regarding incidents of effective and ineffective behavior would enlarge the scope of the project and be more inclusive in enumerating total task behavior. Although the input from the lay-community was recognized as a major factor in this particular study, administrative restrictions prevented the participation of the lay-community in the study. It is hoped that at a future date incidents could be gathered from the lay-community of Naval personnel and compared with the findings of this study or incorporated as an integral part of the study.

B. RECOMMENDATIONS

The Fitness Report in its present format should be examined by the Bureau of Naval Personnel in terms of addressing several specific issues.

1. The practice of evaluating all officers in the rank of captain and below on the same Fitness Report regardless of responsibility or specialty should be reconsidered.
2. In light of recent developments in the field of performance appraisal, a study should be conducted to determine the value of continued use of the Personal Characteristics section in the present Report.
3. A rating scale based on primary criteria should be developed and utilized as an integral part of the evaluation of chaplains in lieu of the Personal Characteristics section in the present Fitness Report.

APPENDIX A

REPORT ON THE FITNESS OF OFFICERS

NAVPERS 1611/1 (Rev. 12-69)

REPORT ON THE FITNESS OF OFFICERS

(Refer to BUPERSINST 1611 Series)

| | | | | |
|---|----------|---|---------|----------------|
| 1. NAME (Last, first, middle) | 2. GRADE | 3. DESIGNATOR | 4. SSAN | 5. FILE NUMBER |
| 6. SHIP OR STATION (at which duty evaluated and performed) | | 7. DATE REPORTED THIS DUTY STATION | | |
| 8. OCCASION FOR REPORT | | 9. TYPE OF REPORT | | |
| <input checked="" type="checkbox"/> PERIODIC <input type="checkbox"/> DETACHMENT OF SENIOR <input type="checkbox"/> DETACHMENT OF OFFICER | | <input type="checkbox"/> REGULAR <input type="checkbox"/> CONCURRENT <input type="checkbox"/> SPECIAL | | |
| 10. PERIOD OF REPORT | | | | |
| FROM | | TO: | | |

11. DUTIES: (Identify PRIMARY and principal COLLATERAL duties assigned, indicating number of months assigned each during period of report - list Primary duties first. For reports based on other than Close Observation, indicate after Primary duty the number of months detail used, followed by the number of months detail physically separated from the reporting period, if applicable. (e.g., 6/4/1). Indicate inclusive date of periods of non-evaluability due to hospitalization, temporary additional duty, leave and travel between duty stations. Describe the demands, qualifications necessary, responsibilities, and conditions peculiar to any billet of an unusual nature and not understood by naval officers in general - append sup. document sheet for this purpose if space is inadequate.)

12. EMPLOYMENT OF COMMAND (DEPARTMENT/ DIVISION/UNIT) DURING PERIOD OF THIS REPORT. (The setting in which officer displayed his abilities - Do NOT use code, names, unusual or extreme abbreviations)

| | | | | | |
|--|--|--|---|--|--|
| 13. GENERAL INSTRUCTIONS | | | | | |
| <p>(a) ALL EVALUATIONS MADE IN THIS REPORT SHALL BE IN COMPARISON WITH OFFICERS OF THE SAME GRADE, COMPETITIVE CATEGORY (I.E., UNRESTRICTED LINE WITH UNRESTRICTED LINE, SUPPLY CORPS WITH SUPPLY CORPS, ETC.), AND APPROXIMATE TIME IN GRADE WHOM YOU HAVE KNOWN</p> <p>(b) A MARK IN THE HIGHEST MARKING BOX OF SECTION 18(A) CONSTITUTES A NOMINATION FOR ACCELERATED PROMOTION AHEAD OF YEAR GROUP. SUCH A REPORT, IF NOT COMPLETED BY A FLAG OFFICER, MUST BE FORWARDED VIA</p> | | | <p>THE NEXT SENIOR IN THE CHAIN OF COMMAND FOR REVIEW AND ENDORSEMENT ON SUPPLEMENTAL FORM NAVPERS 1611/5 (REV. 12-69).</p> <p>(c) REPORTS ON CERTAIN CAPABILITIES, WHEN COMPLETED BY A FLAG OR GENERAL OFFICER, MUST BE FORWARDED VIA THE FIRST FLAG OR GENERAL OFFICER IN THE CHAIN OF COMMAND, FOR ENDORSEMENT AND COMMENT REGARDING FLAG POTENTIAL. USE SUPPLEMENTAL FORM NAVPERS 1611/5. (REV. 12-69).</p> | | |

14. Entries on this report are based on which one of the following relationships?

Close Observation Frequent Observation Infrequent Observation Records and Reports Only

| | | | | | |
|---|--|----------------|--------------------------|---|---|
| 15. PERFORMANCE OF DUTIES: (Indicate evaluation by "1" in appropriate marking column for each item and provide supporting comments in Section 21) | | | | | |
| (Details of duties noted in Section 11) | | NOT OBS OR N/A | Outstanding performance. | Excellent performance, frequently demonstrates outstanding performance. | Very good performance, frequently demonstrates excellent performance. |
| (a) EVALUATION OF OVERALL PERFORMANCE OF ALL DUTIES ASSIGNED | | | | | |
| (1) SHIPMANHOLDING AND SEAMANSHIP | | | | | |
| (2) AIRMANSHIP | | | | | |
| (3) SUBSPECIALTY/SPECIALTY (IDENTIFY) | | | | | |
| (4) MANAGEMENT | | | | | |
| (5) AS WATCH/DUTY OFFICER | | | | | |

| | | | | | |
|---|--|----------|---------------------|----------------|-----------------|
| 16. DESIRABILITY. Indicate your attitude toward having this officer under your command in the following categories of assignment: | | | | | |
| CATEGORIES | | NOT OBS. | Particularly desire | Prefer to most | Pleased to have |
| (a) COMMAND | | | | | |
| (b) OPERATIONAL | | | | | |
| (c) STAFF ... | | | | | |
| (d) JOINT/OSD | | | | | |
| (e) FOREIGN SHORE | | | | | |

17. FUTURE ASSIGNMENT: Based on your observation of this officer's capacity for accepting increased responsibilities, for what type of duty do you consider him best qualified for future assignment - sea and shore? (Including replacement in a subspecialty for which best fitted)
 (a) SEA (b) SHORE (c) SUBSPECIALTY (d) OTHER
 (e) CONSENT, if appropriate

| | | | | | | | | |
|--|--|----------|--------------------------|-----------------------|---|---|---|-----------------------------|
| 18. OVERALL EVALUATION: | | NOT OBS. | 1. HOW WELL HE PERFORMED | 2. ONE OF THE TOP FEW | 3. AN EXCELLENT OFFICER OF GREAT VALUE TO THE SERVICE | 4. A FINE AND TYPICALLY EFFECTIVE OFFICER | 5. ENTIRELY SATISFACTORY IN PRESENT GRADE | 6. UNSATISFACTORY (ADVERSE) |
| (a) BASED ON YOUR OBSERVATION OF THIS OFFICER'S PERFORMANCE AND CONSIDERING EVERYTHING THAT YOU KNOW ABOUT HIM, HOW WOULD YOU DESIG- NATE HIM? | | | | | | | | |

*If you designate more than one in this category, you must indicate this officer's standing in relation to the others (e.g., 1 of 3, 2 of 3, 3 of 3, etc.)

(b) In order to assist report users in making comparison among reports submitted by different seniors with varying standards of evaluation, a reasonably large sampling of the overall evaluations given other officers at this time is required. Accordingly, for reports submitted on this occasion, indicate here how many officers of his grade (including all categories or designators and time in grade) you have marked in each category of (a). Indicate line/staff corps breakdowns within each summary figure. (e.g., 5(3L/2S), 11(9L/2S), etc.) The reporting of no breakdown will indicate that all are the same general category.

| | |
|---|--|
| 19. NAME, GRADE, FILE NUMBER, DESIGNATOR, AND TITLE OF REPORTING SENIOR | |
|---|--|

APPENDIX A

NAVPERS 16111 (Rev. 12-69) (BACK)

20. PERSONAL CHARACTERISTICS: To what degree has this officer exhibited the following qualities?

| MARKING INSTRUCTIONS | NOT OBSERVED | | | | | | | IS NOT EXCEEDED | ONE OF THE TOP FEW | ABOVE THE MAJORITY | EQUAL TO THE MAJORITY | BELOW THE MAJORITY | BRIEFLY SATISFACTORY | UNSATISFACTORY (ADVERSE) | |
|---|--|--|--|--|--|--|--|-----------------|--------------------|--------------------|-----------------------|--------------------|----------------------|--------------------------|--|
| | Assign a mark of "X" in the appropriate column for each quality. | | | | | | | | | | | | | | |
| (a) PROFESSIONAL KNOWLEDGE (Comprehension of all aspects of the profession) | | | | | | | | | | | | | | | |
| (b) MORAL COURAGE (To do what he ought to do regardless of consequences to himself) | | | | | | | | | | | | | | | |
| (c) LOYALTY (His faithfulness and allegiance to his shipmates, his command, the service and the nation) | | | | | | | | | | | | | | | |
| (d) FORCE (The positive and enthusiastic manner with which he fulfills his responsibilities) | | | | | | | | | | | | | | | |
| (e) INITIATIVE (His willingness to seek out and accept responsibilities) | | | | | | | | | | | | | | | |
| (f) INDUSTRY (The zeal exhibited and energy applied in the performance of his duties) | | | | | | | | | | | | | | | |
| (g) IMAGINATION (Resourcefulness, creativeness, and capacity to plan constructively) | | | | | | | | | | | | | | | |
| (h) JUDGMENT (His ability to develop correct and logical conclusions) | | | | | | | | | | | | | | | |
| (i) ANALYTICAL ABILITY (Logical incisiveness which discriminates between assumption, fact, and hypothesis) | | | | | | | | | | | | | | | |
| (j) DECISIVENESS (The ability to act rationally and with dispatch within limits of authority assigned or delegated) | | | | | | | | | | | | | | | |
| (k) RELIABILITY (The dependability and thoroughness exhibited in meeting responsibilities) | | | | | | | | | | | | | | | |
| (l) COOPERATION (His ability and willingness to work in harmony with others) | | | | | | | | | | | | | | | |
| (m) PERSONAL BEHAVIOR (His demeanor, disposition, sociability and sobriety) | | | | | | | | | | | | | | | |
| (n) MILITARY BEARING (His military carriage, correctness of uniform, neatness of appearance and physical fitness) | | | | | | | | | | | | | | | |
| (o) SELF-EXPRESSION (ORAL) (His ability to express himself orally) | | | | | | | | | | | | | | | |
| (p) SELF-EXPRESSION (WRITTEN) (His ability to express himself in writing) | | | | | | | | | | | | | | | |

21. COMMENTS: Make specific comments consistent with marks in other sections. Mention strengths, special accomplishments, or weaknesses. Emphasize displayed potential for professional development and leadership ability and potential for assuming greater responsibilities and promotion. Support nominations for accelerated promotion fully. Comment upon degree of attainment of objectives for which subordinate was accountable. When applicable, comment upon efforts and effectiveness in retention/reenlistment of quality personnel, upon economy displayed by effective use of manpower/material, attention to and use of good material maintenance procedures and engineering practices. Comment on performance in, and contribution to, subspecialty, if appropriate. Mention attainment of specific qualifications (e.g., OOD underway, plane commander, submarine or destroyer command, etc.). (THIS SPACE MUST NOT BE LEFT BLANK)

| | | | | | | | |
|--|---|--|---|--|--|--|--|
| 22. ADMINISTRATIVE ACTIONS (Each action taken in this section MUST be checked) | (a) Significant weaknesses should be discussed with the officer-- | <input type="checkbox"/> YES | <input type="checkbox"/> NO (Explain in Section 21) | <input type="checkbox"/> NO SIGNIFICANT WEAKNESSES NOTED | | | |
| | (b) What has been the trend of his performance since your last report? | <input type="checkbox"/> FIRST REPORT | <input type="checkbox"/> IMPROVING | <input type="checkbox"/> CONSISTENT | <input type="checkbox"/> DECLINING (Must discuss with officer) | | |
| | (c) Has the officer seen this report? | <input type="checkbox"/> YES | <input type="checkbox"/> NO | In the interest of maintaining effective communications with subordinates, reporting seniors are encouraged to discuss this report with the officer, but not necessarily show it to him. | | | |
| | (d) Communications which are a direct reflection of this officer's performance should be considered in making comments in Section 21. Such communications may be forwarded separately for file in his Selection Board Jacket. Exception: A copy of a letter of censure (including appeal and denial) must be appended to the first fitness report submitted after it becomes final. | Has this been done? <input type="checkbox"/> YES <input type="checkbox"/> NO | | | | | |
| | (e) Reports containing matter of an adverse nature (in marks or comments or appended) must be referred for statement pursuant to Navy Regulations. Statement of officer must be endorsed and attached to this report. | | | | | | |
| 23. DATE FORWARDED | SIGNATURE OF REPORTING SENIOR | | Concurrent and special reports must be forwarded via the officer's regular reporting senior. To avoid possible loss or misrouting of a concurrent or special report, the receipt form must be mailed direct to BuPers as the concurrent or special report is forwarded to the regular reporting senior. | | | | |
| 24. DATE NOTED AND FORWARDED | SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT OR SPECIAL REPORT | | | | | | |

APPENDIX B

PILOT QUESTIONNAIRE

APPENDIX C
RESEARCH STUDY QUESTIONNAIRE

INTRODUCTION

Each one of us has at times observed an individual perform in a way in which we are deeply impressed, either positively or negatively, by what that individual did. With this idea in mind please answer the following:

1. Recall the last time you felt a chaplain was particularly EFFECTIVE.
 - a) When did this incident happen? (approx.) _____
 - b) Describe the incident telling what the chaplain did.

2. Recall the last time you felt a chaplain was particularly INEFFECTIVE.
 - a) When did this incident happen? (approx.) _____
 - b) Describe the incident telling what the chaplain did.

APPENDIX D
RESEARCH STUDY COVER LETTER



DEPARTMENT OF THE NAVY
BUREAU OF NAVAL PERSONNEL
WASHINGTON, D.C. 20370

19 January 1973

Dear Chaplain:

Chaplain David E. White, presently attending the Naval Postgraduate School, is doing thesis research under the direction of Professor R.S. Elster, to develop a means of evaluation of Naval Chaplains based upon a check list of task behaviors regarded as crucial to effective performance. Because of the differences in tasks required by billets to which chaplains are assigned, input from all chaplains is desired for this study.

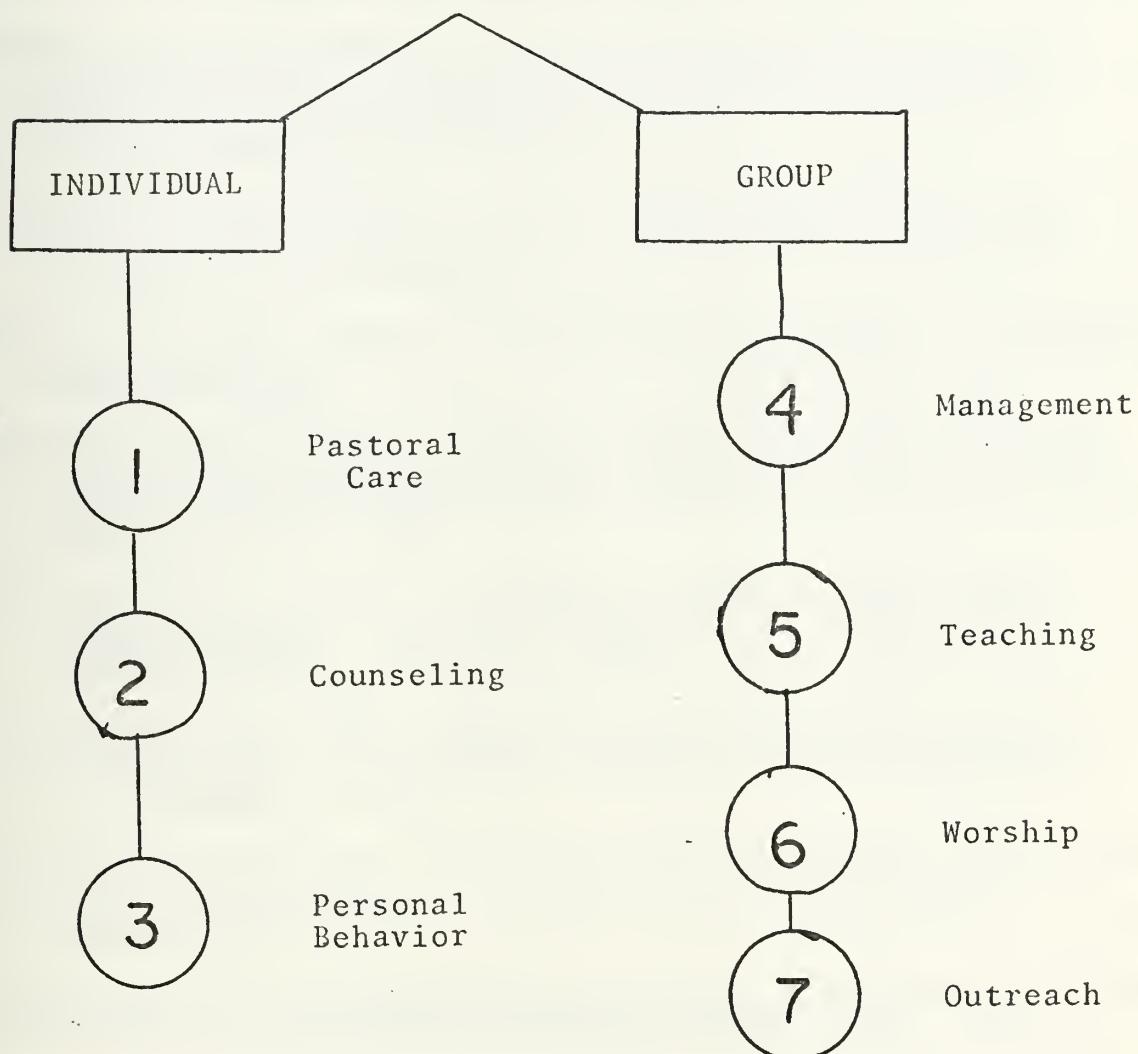
You are requested to complete the attached questionnaire, which utilizes the "critical incident technique", and return it to Chaplain White as soon as possible. Signatures are not necessary, nor are names desired, regarding the incidents you describe. The source of all information in the questionnaire will be considered confidential. Chaplain White's address is:

Chaplain David E. White, USN
Naval Postgraduate School (SMC 2474)
Monterey, California 93940

This research project has my full support and endorsement and your full cooperation in providing the information requested will be very much appreciated.



APPENDIX E
CATEGORY FLOWCHART



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10. ABSTRACT

In this paper an attempt is made to identify primary criteria with which to evaluate the performance of chaplains serving on active duty in the United States Navy. A review of performance evaluation is presented in which the earliest developments are discussed and compared with the changes which have been made in the Fitness Report over the years. A research study was conducted using the critical incident technique to gather data on effective and ineffective task behavior of chaplains. From an analysis and classification of the data a listing of primary criteria was developed from which rating scales for the evaluation of chaplains may be developed.

ASSIFIED

Security Classification

| KEY WORDS | LINK A | | LINK B | | LINK C | |
|------------------------|--------|----|--------|----|--------|----|
| | ROLE | WT | ROLE | WT | ROLE | WT |
| Chaplain | | | | | | |
| Performance Evaluation | | | | | | |
| Performance Rating | | | | | | |
| United States Navy | | | | | | |



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